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Fax Transmittal

Date January 12, 2006 Client-Matter 74622-014

Total Pages (Including Cover) 3

From John C. Stellabotte

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To:

Fax No.: ~~703.872.9306~~ 571-2738300

Company: United States Patent and Trademark Office -

Voice No.: 703.305.4458

Message

Re: Inventor : Philip Koh-Kwe Hsu
Serial No. : 09/687,892
Filing Date : October 13, 2000
Title : A COMPUTER SYSTEM AND A METHOD FOR MANAGING A
FINANCIAL TRANSACTION
Att'y Docket : 74622-014

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

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Signature

January 12, 2005

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<p align="center">POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</p>	Application Number	09/087,892
	Filing Date	October 13, 2000
	First Named Inventor	Phillip Koh-Kwe Hsu
	Title	SYSTEM AND METHOD FOR DELIVERING A FINANCIAL MESSAGE
	Art Unit	3628
	Examiner Name	Vincent, David Robert
	Attorney Docket Number	74622-014

I hereby appoint:

☒ Practitioners associated with the Customer Number: 21890

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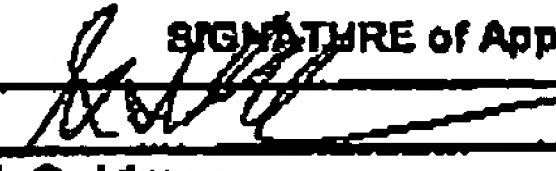
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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/66)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Phillip Koh-Kwe Hsu, et al.

Application No./Patent No.: 09/687,892 Filed/Issue Date: October 13, 2000

Entitled: **SYSTEM AND METHOD FOR DELIVERING A FINANCIAL MESSAGE**

UBS Financial Services, Inc., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
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In the patent application/patent identified above by virtue of either:

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OR


B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature
Gregg I. Goldman
Printed or Typed Name
Director and Senior Counsel, UBS AG, Stamford Branch
Title

1/11/06
Date
203 719 3099
Telephone Number

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